



NATIONAL CENTER ON
Early Childhood Quality Assurance

Supporting the Use of Licensing Data: Highlighting a New Resource and TA Opportunities

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WELCOME!



NATIONAL CENTER ON Early Childhood Quality Assurance



Introductions

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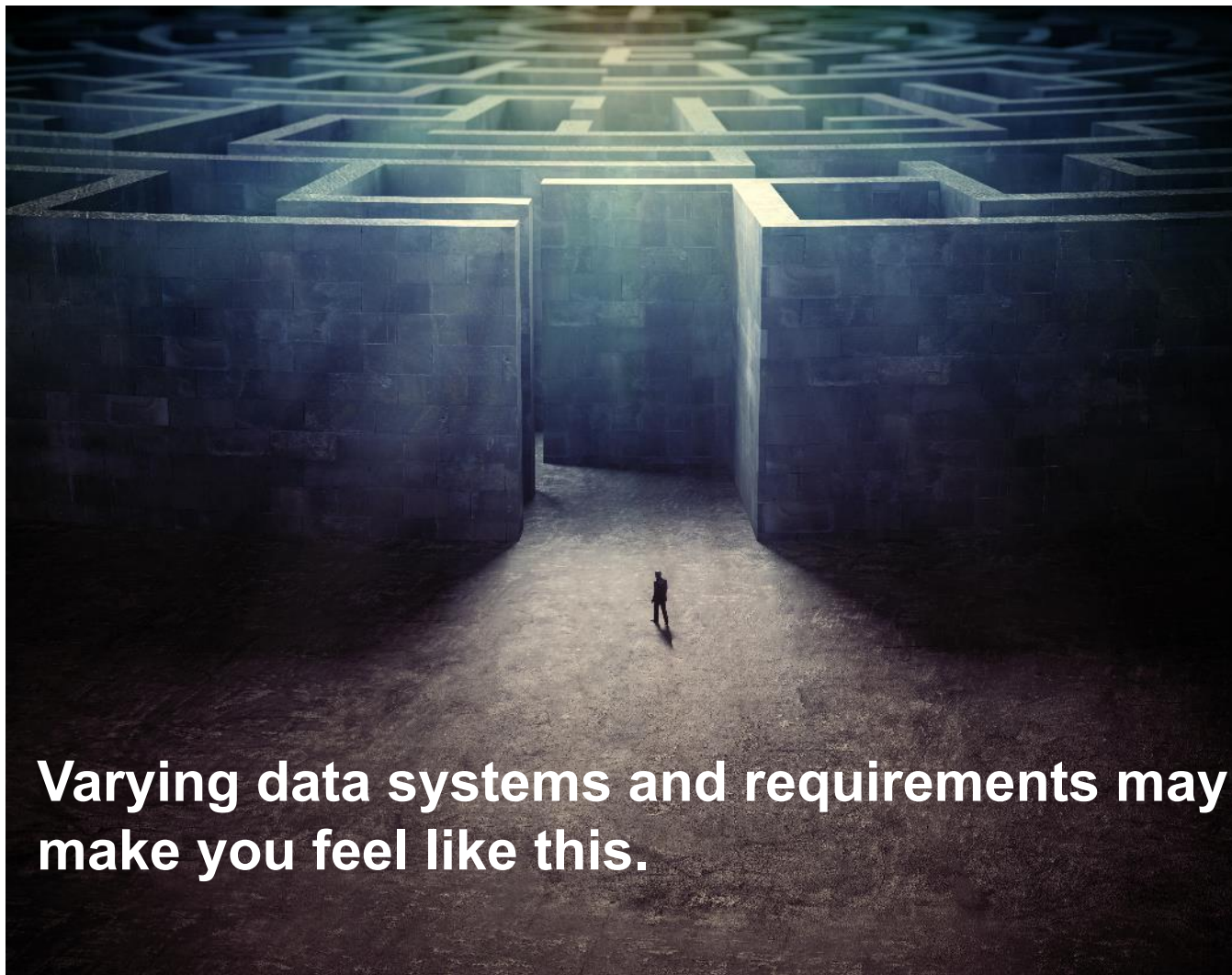
Objectives

- ◆ Learn about a new resource focused on licensing-related data
- ◆ Learn about opportunities for supporting your collection and use of licensing data



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Setting the Stage



Varying data systems and requirements may make you feel like this.

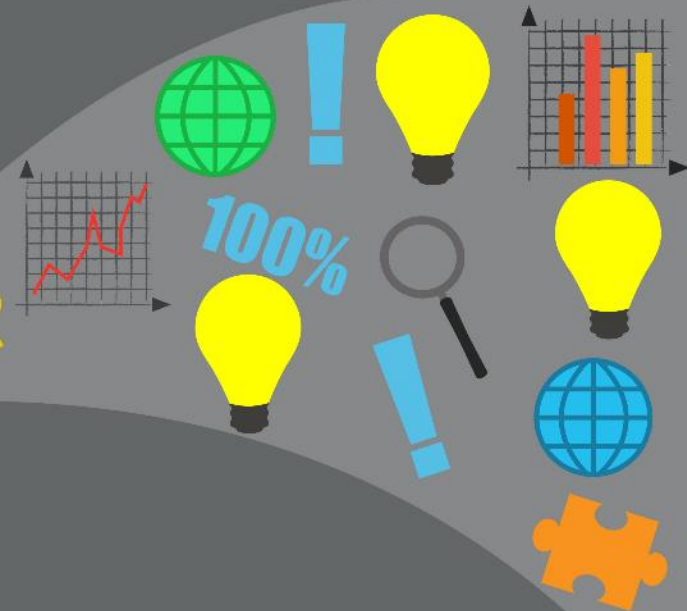


What do we have to report?
And what information has to
go on our website?



How can our licensing data help make our policies and practices better?

0 6 y
204 = x +
104 = x +
9 a + \$ 9 = 45
5 y 9 3.1 2 0 9
0 % x + 1 9 % = 3.1 x +
+ 1 x a 1 4 + 0 9 1 a 1 5 2.1 = 6 0
+ 1 2 0 1 9 2 0 6 1 a 0 2 1 2 = \$
0.5 = 5 2 1 0 4 y x 1 a 5 1 9 2
+ 1 a 1 5 2 a 3 0 % \$ = 3 9 %
1 x 0 2 a 5 2 0.5 1 8 1 a + 1
1 \$ > 3 9 % 0



Licensing Data Guide

- ◆ Collecting and using licensing data



Collecting Data

- ◆ States/territories collect a wide array of licensing data



State Examples

Appendix A. Licensing Data Systems: State Examples

The table below describes licensing data systems in three States: Iowa, North Carolina, and Texas. Each state example includes descriptions of the data system, uses and users of the data, system strengths and limitations, recent improvements, and plans for future improvements. This table is intended to provide a broad overview of each system and illustrate how these States are addressing CCDF requirements while working with some of the common limitations of licensing data systems presented earlier in this guide.

	Iowa	North Carolina	Texas
Description of the licensing data system	<ul style="list-style-type: none"> Known as the Child Care Regulatory Information System (CCRIS); began using in fall 2016 Developed by in-house staff as a replacement for the off-the-shelf software used previously Managed by the Iowa Department of Human Services (DHS) CCRIS houses data about monitoring visits, violations, technical assistance, and serious injuries and deaths Separate system called Kindertrack houses information about child care subsidy administration and receipt 	<ul style="list-style-type: none"> Built by the State's Information Technology Division (ITD) in the late 1990s Web-based system Housed within the state Department of Health and Human Services (DHHS); operated by the Division of Child Development and Early Education (DCDEE) Includes information about child care facility infractions, and violations; also about legal un... One portal pro... accessible to D... who do licensi... A second porta... can access a s... through DCDEE 	<ul style="list-style-type: none"> Created in 2001 by an external vendor Maintained by the Division of Child Care Licensing (CCL) Owned by CCL's parent agency, the Health and Human Services Commission. Houses a variety of data related to licensing: permit dates; permit

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	Iowa	North Carolina	Texas
Data uses and types of users	<ul style="list-style-type: none"> DHS staff use CCRIS to enter and track monitoring progress and answer questions, such as the following: How many complaints result in a regulatory violation? What types of noncompliance are we seeing the most of? What regions of the State are having problems with safe sleep practices and need technical assistance? Child care resource and referral agency staff use the system to enter information that is used for Iowa's child care hotline 	<ul style="list-style-type: none"> The public uses the data search for child care and review violations Agency staff use the data to meet reporting requirements and to examine information about programs' interactions with DCDEE over time Program administrators use the data to create monthly statistical reports with aggregate data by: county, type of licensed facility, capacity, approval to participate in subsidy, and enrollment data Partner agencies, such as Smart Start and child care resource and referral agencies, use the monthly statistical reports to monitor child care participation 	<ul style="list-style-type: none"> Members of the public access the data through a searchable website that allows them to view basic information about programs and their licensing status CCL staff use the system to enter and manage the data they collect about the programs they visit for monitoring purposes CCL administrators use the data system to understand the work of CCL, manage performance, meet reporting requirements of state and federal entities, track progress on performance measures, and perform quality assurance of program implementation Other state departments use the information to understand links between agencies Legislature uses the data for policy decision making

Collecting Data

- ◆ The impact of Child Care and Development Fund regulations on licensing data



Child Care and Development Fund, 45 C.F.R. § 98 (2016).

Licensing Data Elements

Licensing Data Guide				
Appendix B. Licensing Data Elements				
<p>Table B1 lists the data elements pertinent to the licensing agency that are required to be collected in the CCDF regulation. Data requirements include both individual data elements and aggregation of individual data elements into reports or summary statistics. Table B2 includes optional data elements that are recommended by ChildCare.gov or may help States improve their data collection and use. Across both tables, the data element categories are: program characteristics, child and family characteristics, teacher and provider characteristics, monitoring, violations, consumer education and information, and financing and funding. The second column in each table provides space for licensing agencies to indicate whether they currently collect this data element. These tables can help CCDF Administrators and licensing administrators identify the data elements they currently collect and the data they are required to collect or might benefit from collecting.</p>				
Table B1a. Data Elements Included in CCDF Regulations – Likely in Licensing Data System				
Data Elements	Collected in State System?	Description	Category	CCDF Regulation Citation
Program state ID		Unique identifier given to a child care program by the state regulatory agency or partner agency.	Program Characteristics	CCDF, 45 C.F.R. § 98.71(a)(1)
Program FEIN		The program's Federal Employer Identification Number.	Program Characteristics	CCDF, 45 C.F.R. § 98.71(a)(2)
Program type		Indicator of the type of facility in which the child care program is located. Identifies whether a child care program is in a commercial setting or a home setting.	Program Characteristics	CCDF, 45 C.F.R. § 98.71(a)(3)
Zip code for program		Zip code in which the facility is located.	Program Characteristics	CCDF, 45 C.F.R. § 98.71(a)(4)

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Data Elements	Collected in State System?	Description	Category	CCDF Regulation Citation	Shared In
Localized list of child care providers		A localized list of all licensed child care providers, and, at the discretion of the Lead Agency, all eligible child care providers (other than an individual who is related to all children for whom child care is provided), differentiating between licensed and license-exempt providers, searchable by zip code.	Program characteristics	CCDF, 45 C.F.R. § 98.33(a)(2)	Website
Inspection Date		Date of the child care provider's most recent health, safety and fire inspection meeting the requirements of §98.42(b)(2)	Monitoring	CCDF, 45 C.F.R. § 98.33(a)(4)(i) and 98.71(a)(20)	Website and ACF-801 (40)
Results of monitoring and inspection reports, including those due to major substantiated complaints		Results of monitoring and inspection reports for all eligible and licensed child care providers (other than relative), including those due to major substantiated complaints about failure to comply with provisions.	Monitoring	CCDF, 45 C.F.R. § 98.33(a)(4)	Website
Full monitoring and inspection reports		Full monitoring and inspection reports, either in plain language or with a plain language summary.	Monitoring	CCDF, 45 C.F.R. § 98.33(a)(4)	Website
Process for correcting inaccuracies in inspection reports		Lead Agencies must establish a process for correcting inaccuracies in licensing inspection reports.	Monitoring	CCDF, 45 C.F.R. § 98.33(a)(4)	Website
Parent complaints and substantiations		Maintain a record of substantiated parent complaints. A record of substantiated complaints is maintained and is made available.	Monitoring	CCDF, 45 C.F.R. § 98.32(a)(2) and 98.32(b)	
History of compliance (a minimum of 3 years of results is required)		Program's history of compliance over at least the last 3 years.	Monitoring	CCDF, 45 C.F.R. § 98.33(a)(4)(iv)	Website

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Examples of Required Licensing Data Elements

Data Element	Collected in State System?	Description	Category	CCDF Regulation Citation	Shared In
Annual aggregate number of serious injuries		Annual aggregate number of serious injuries in the state for each provider category and licensing status.	Violations and enforcement	Child Care and Development Fund, 45 C.F.R. § 98.33(a)(5) (2016).	Website
Full monitoring and inspection reports		Full monitoring and inspection reports, either in plain language or with a plain language summary.	Monitoring	Child Care and Development Fund, 45 C.F.R. § 98.33(a)(4) (2016).	Website
Quality rating and improvement system (QRIS) rating		The QRIS rating level of the provider.	Program characteristics	Child Care and Development Fund, 45 C.F.R. § 98.71(a)(21) and 98.33(a)(3) (2016).	Website and ACF-801(34)

Examples of Optional Data Elements

Data Element	Collected in State System?	Description	Category
Enrollment: infants, toddlers, preschoolers, and school age		The number of children enrolled in the program, by age group.	Program characteristics
Variances or waivers from licensing standards		The type of variance or waiver for licensing standards granted to the program.	Program characteristics
Technical assistance provided		A list of the technical assistance supports and activities provided to the program.	Program characteristics
Description of the type and cause of injury or fatality		Description of the type and cause of injury or fatality that resulted from the licensing violation, including the bodily location.	Violations and enforcement

How Data Are Collected

- ◆ Varies widely across states and territories
 - Paper and pencil
 - Use of technology
 - Mobile phones, iPads, laptops
 - Web-based systems
 - Vendors
- ◆ Regardless of *how* data are collected, it is important to ensure data are collected well

Issues with Licensing Data

Common Challenges

- ◆ Adding or changing a variable
- ◆ Generating new reports
- ◆ Linking to other data systems

Possible Strategies

- ◆ Data governance structure
- ◆ Consistent documentation of data
- ◆ Data linking promotion

Polling Question

- ◆ What do you use the licensing data for in your state/territory?
 - a. Evaluating your agency's practices
 - b. Helping improve quality
 - c. Sharing with other agencies
 - d. Other
 - e. Not sure

Using Licensing Data

◆ Evaluate practices

- Examine inconsistencies in enforcement
- Explore patterns of violations
- Adjust caseloads



Uses of Licensing Data

◆ Support efforts for continuous quality improvement

- Target training, informed by frequent violations
- Look at the relationship between health and safety training and compliance
- Assess clarity and reasonableness of frequently violated standards



Uses of Licensing Data

- ◆ Coordinate with other agencies or programs
 - Communicate with other programs regarding compliance
 - Support best practices by sharing serious injury trend analysis with health (or other) consultants
 - Understand where children receiving subsidy go when a center or home closes

Uses of Licensing Data

- ◆ Address questions about the early care and education system
 - Examine the number and type of violations at each quality rating level
 - Share aggregate data with providers to foster discussion
 - Understand disparities in access





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Licensing Data Technical Assistance

Technical Assistance

- ◆ Provide support on topics such as the following:
 - Adding new data elements;
 - Revising data systems;
 - Using licensing data to help answer questions of interest; and
 - Strengthening the quality of data.



If interested, email Nina Johnson at Nina.Johnson@icf.com.

Resources

- ◆ The National Center on Early Childhood Quality Assurance's new resource, *A Guide to Support States and Territories' Use of Child Care Licensing Data*, helps CCDF and licensing administrators assess current licensing data systems and identify needed changes. <https://childcareta.acf.hhs.gov/resource/guide-support-states-and-territories-use-child-care-licensing-data>
- ◆ The ChildCare.gov Project resource page highlights resources related to technology, data systems, and data governance. Visit <https://childcareta.acf.hhs.gov/centers/childcaregov-project>.

Thank You!



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